


## RECORDS RETENTION SCHEDULE

*Submit three copies to: Department of General Services, California Records and Information Management, 707 Third St. 2<sup>nd</sup> Fl., W. Sacramento, CA 95605.*

A CalRIM Consultant may be reached by phone at (916) 375-4404, by fax at (916) 375-4408 or by email at CalRIM@dgs.ca.gov

(1) DEPARTMENT, BOARD OR COMMISSION Department of Health Care Services		(2) AGENCY BILLING CODE 085097		(3) PAGE 1 OF 4 PAGES	
(4) DIVISION/ BRANCH/ SECTION Audits and Investigations - Investigations Branch/WEST		(5) ADDRESS 5701 S. Eastern Ave. #600, Commerce, CA 90040			
CHECK THE APPROPRIATE BOX					
(6) <input checked="" type="checkbox"/> New schedule of records that have never been scheduled. [Complete boxes (9) – (12)]					
(7) <input type="checkbox"/> Revising a previous schedule. [Complete boxes (13) – (16)] (A new approval number will be assigned.)					
(8) <input type="checkbox"/> Amending some pages of a previous schedule. [Complete boxes (13) – (16)] (The original approval number will remain in effect.)					
NEW SCHEDULE INFORMATION (If applicable)		(9) SCHEDULE NUMBER HO7-23	(10) SCHEDULE DATE 11/19/07	(11) NUMBER OF PAGES 2	(12) CUBIC FEET (Total Schedule) 653
PREVIOUS SCHEDULE INFORMATION (If applicable)		(13) SCHEDULE NUMBER	(14) APPROVAL NUMBER	(15) APPROVAL DATE (S)	(16) PAGE NUMBER(S) REVISED - 1
(17) MISSION/FUNCTIONAL STATEMENT : Under Audits and Investigations, the Investigations Branch (IB) is responsible for performing federally mandated investigations of Medi-Cal beneficiary fraud and preliminary investigations of provider fraud. IB is also responsible for coordinating the provider fraud referrals to the California Department of Justice and the Federal Bureau of Investigation. <b>IB WEST section is comprised of (3) three offices which are as follows: Commerce, Gardena, and Granada Hills. All three offices are included in this Record Retention Schedule.</b>					
<b>PART I – AGENCY STATEMENTS</b>					
As the program manager (or person authorized to sign for the program manager) directly responsible for the records listed on this records retention schedule, I certify that all records listed are necessary and that each retention period is correct. <b>For revisions, all items on the previous schedule are included or accounted for on the recapitulation. Vital records identified by this schedule are protected. If protection is not currently provided but plans are underway, the details of such plans are shown in Column 45, Remarks.</b>					
(18) SIGNATURE - MANAGER RESPONSIBLE FOR THE RECORDS Chuck Conley <i>cc</i>		(19) TITLE Assistant Chief - WEST Region		(20) PHONE NUMBER 323/838-7000	(21) DATE SIGNED 11/19/07
In accordance with Government Code 14755, approval of this Records Retention Schedule by the Department of General Services is hereby requested. Retention periods shown have been established in accordance with the criteria set forth by Section 1667 of the State Administrative Manual.					
(22) SIGNATURE- RECORDS MGMT. ANALYST <i>Lynsie Bahlhorn-Liverett</i>		(23) CLASSIFICATION Records Management Analyst		(24) NAME (Printed or Typed) Lynsie Bahlhorn-Liverett	(25) PHONE NUMBER 916/552-9155
(26) DATE SIGNED 11/8/08					
<b>PART II – DEPARTMENT OF GENERAL SERVICES APPROVAL (Per Government Code Section 14755)</b>					
(27) SIGNATURE –CalRIM CONSULTANT <i>Garin C. Conley</i>		(28) APPROVAL NUMBER 08-034		(29) DATE SIGNED 2/4/2008	(30) EXPIRATION DATE 2/4/2013
<b>PART III – ARCHIVAL SELECTION (Per Government Code Section 14756)</b>					
THE ATTACHED RECORDS RETENTION SCHEDULE:					
(31) <input checked="" type="checkbox"/> Contains no material subject to further review by the California State Archives					
(32) <input type="checkbox"/> Contains material subject to archival review. Items stamped "NOTIFY ARCHIVES" may not be destroyed without clearance by the California State Archives. (Per Section 1671 of the State Administrative Manual.)					
(33) SIGNATURE – CHIEF OF ARCHIVES OR DESIGNATED REPRESENTATIVE <i>Sydney Bailey, Archivist</i>		(34) DATE SIGNED Feb. 15, 2008			

08-034

ITEM #	CUBIC FEET *	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA (Exempt) & IPA (47)	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)

			<b><u>ADMINISTRATIVE RECORDS</u></b>								
1)	11		Personnel Records	P	X	Active + 2			Active + 2		Active until person separates, retires or transfers. Retain additional two years, then destroy.
2)	18		Attendance Records	P	X	Active + 2			Active + 2		Active until person separates, retires or transfers. Retain additional two years, then destroy.
3)	6		Supervisor's Employee Files	P	X	Active + 2			Active + 2		Active until person separates, retires or transfers. Retain additional two years, then destroy.
4)	3		Monthly Production Reports	P	X	Active + 7			Active + 7		Manager's required to hold active plus 7
5)	2		Travel/Expense Claims	P	X	Active + 5			Active + 5		
6)	1		Purchase Request	P	X	Active + 5			Active + 5		
7)	2		Records Retention Schedule, Transfer Lists, Destruction Reports	P	X	Active + 5			Active + 5		Active until revised
			<b><u>PROGRAM RECORDS</u></b>								
8)	184		Open Cases - Investigation notes; affidavits; DMV/CLETS printouts; claim detail reports; billing printouts.	P	X	Active + 5			Active + 5		Investigator's current/active cases.
9)	270		Closed Cases - Investigation reports; affidavits; DMV/CLETS printouts; claim detail reports; billing printouts.	P	X	5			5		Cases that have been closed and are within the statute of limitations. Retained in office due to appeals, prosecution actions, recovery efforts, referrals, and lawsuits.
10)	156		Seized Confidential Evidence	P	X	Active + 4			Active + 4		Current evidence that was seized as a result of a search warrant.
<b>TOTAL</b>	<b>653</b>										

\* Provide total of office and departmental

08-034

EM	CUBIC FEET *	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS  (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA (Exempt) & IPA	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)

11			<u>Records Management</u>								
			STD Form 70, Records Inventory Worksheet	P		Current			Current		Retain as current until next inventory, or when no longer needed for reference or analysis, whichever is later.
12	1		STD Form 73, Records Retention Schedule	P		Current			Current		Retain as current until revised. NOTE: Although revision is required every five years from date approved by CalRIM, records retention schedules that are not revised remain in effect but are considered non-current.
			<u>Electronic Mail</u>								
13			A. E-mail that are categorized as official records are subject to department records retention schedule and must be retained for the same period of time as the records series that most closely matches the subject matter contained within the new e-message. If there is no entry that resembles or matches the subject matter of the e-message, the "record" should be added to the schedule as a separate series (separate item number).	M		*	*	*	*		*E-mail communications that have "official records status" are subject to department records retention schedule and must be retained for the same period of time as the records series that most closely matches the subject matter of the e-communication in question.
			B. Transitory e-Mail consists of electronic messages that are created primarily for the communication of informal information as opposed to the perpetuation or formalization of knowledge.	M		90 days			90 days		Destroy transitory e-communications when they have served their purpose.

**AUDITS AND INVESTIGATIONS  
INVESTIGATIONS BRANCH  
WEST**

*PAGE 4 of 4*

08-034

INVESTIGATIONS - WEST	
Charles Conley	SFI-II
806-309-8066-001	

Vacant	MST	Connie Inzunza	OT-T
806-309-5278-702	Eff. 6-1-07 (B)	806-309-1139-701	

COMMERCE - UNIT I		COMMERCE - UNIT II		GARDENA		GRANADA HILLS	
Guillermo Reyes	SFI-I	Christine Getty	SFI-I	Richter Clough	SFI-I	Vacant	SFI-I
806-309-8065-003	(B)	806-309-8065-004		806-311-8065-001	(B)	806-313-8065-001	Eff. 9-28-07 (B)
Gregory Godina	FI	Andres Romo	FI	Han Cornbs	FI	Vacant	FI
806-309-8064-044		806-309-8064-036	(GH) (B)	806-311-8064-015		806-313-8064-002	Eff. 5-28-07
Alex Solario	FI	Elizabeth Malkasian	FI	Eric Chavez	FI	Vacant	FI
806-309-8064-050	(B)	806-309-8064-037		806-311-8064-027		806-313-8064-029	Eff. 5-31-07
Elizabeth Quintero	FI	Marco Guerrero	FI	Vacant	FI	Carlos Lopez	FI
806-309-8064-051		806-309-8064-038		806-311-8064-028	Eff. 5-30-07	806-313-8064-033	(B)
Michael Oxley	FI	Raquel Nicholson	FI	Virginia Zedillo-Torres	FI	Carlos Gonzalez	FI
806-309-8064-053	(Gar)	806-309-8064-052	(B)	806-311-8064-029	(B)	806-313-8064-040	
Charley Cazares	FI	Monique Bryant	FI	Theresa Baine	FI	Nancy Kemp	FI
806-309-8064-058		806-309-8064-056		806-311-8064-040	(B)	806-313-8064-042	
Debbie Tolbert	FI	Ronie Diacin	FI	Elena Calvo	FI		
806-309-8064-059		806-309-8064-063		806-311-8064-045			
Lisa Meraz	FI	Vacant	FI	Nellie Rodriguez	FI		
806-309-8064-064		806-309-8064-065	Eff. 7-13-07	806-311-8064-047	(Comm) (B)		
Richard Angeo	FI	Monica Tuttle	FI	Babeth Major-Gregory	FI		
806-309-8064-066		806-309-8064-068		806-311-8064-048			
Chlorice Ilaraza	FI			Don Pagal	OT-T		
806-309-8064-070				806-311-1139-701			

5701 South Eastern Ave, 600  
Commerce, CA 90040  
19300 Hamilton Ave, 270  
Gardena, CA 90248  
16800 Devonshire St, 220  
Granada Hills, CA 91343

B = Bilingual

David Botelho  
Deputy Director  
October 1, 2007